

Herrero v. Standard Chartered Bank International (Americas) Limited, et al., 1:11-cv-03553-VM
Master File No. 1:09-cv-00118-VM-THK

UNITED STATES DISTRICT COURT
SOUTHERN DISTRICT OF NEW YORK

PASHA ANWAR, *et al.*,

Plaintiffs,

v.

FAIRFIELD GREENWICH LIMITED, *et al.*,

Defendants.

Master File No. 1:09-cv-00118-VM-THK
ECF CASE

This document relates to:

*Joaquina Teresa Barbachano Herrero v. Standard
Chartered Bank International (Americas) Limited and
Standard Chartered PLC, 1:11-cv-03553-VM*

NOTICE OF FILING CORRECTED EXHIBITS

Plaintiff, JOAQUINA TERESA BARBACHANO HERRERO (“Barbachano”), by and through undersigned counsel, hereby gives Notice of Filing corrected Exhibits F and G to the proposed Amended Complaint against Defendants, STANDARD CHARTERED BANK INTERNATIONAL (AMERICAS) LIMITED and STANDARD CHARTERED PLC (collectively, the “Defendants”), which proposed Amended Complaint was previously submitted to the Court in connection with Barbachano’s pending letter request for leave to amend the Complaint, dated October 3, 2012.

Respectfully submitted,

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Herrero v. Standard Chartered Bank International (Americas) Limited, et al., 1:11-cv-03553-VM
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CERTIFICATE OF SERVICE

WE HEREBY CERTIFY that on October 9, 2012, we electronically filed the foregoing document with the Clerk of the Court using CM/ECF and by PDF/email attachment, on:

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By: /s/ H. Eugene Lindsey III, Esq.
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Client: Client Number - Portfolio 4652-1

Exhibit 10

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Asset Allocation analysis:

June 2006:

Position	Type	Amount	Cash	Bonds	Equities	Alt
Cash	Cash	1,336,066	1,336,066			
Calyon Fin Products (Guernsey) Ltd	Bonds	202,219		202,219		
Amer Express Emerging Mkt Debt	MF	70,357		70,357		
Amer Express GL EM Mkt Short TM Bonds	MF	319,456		319,456		
Signature Portfolios - Global Equities	Portfolio	1,744,723			1,744,723	
Discretionary Traditional Global Moderate	Portfolio	969,984		387,994	581,990	
Amer Express Alt Inv Fund - Global Mkt Neutral	Alt	295,378				295,378
Permal FX Financials & Futures Ltd	Alt	404,377				404,377
Fairfield Sentry Ltd	Alt	454,010				454,010
Totals		5,796,572	1,336,066	960,027	2,326,714	1,153,766
Asset Allocation percentages - June 2006			23%	17%	40%	20%
			40%		60%	

December 2007:

Position	Type	Amount	Cash	Bonds	Equities	Alt
Cash	Cash	2,985	2,985			
Discretionary Dynamic Global Asset Allocation	Portfolio	276,896	2,769	74,762	185,520	13,845
Signature Portfolios - Global Equities	Portfolio	2,721,945			2,721,945	
Discretionary Traditional Global Moderate	Portfolio	1,316,979		526,792	790,188	
Permal Fixed Income Holdings	Alt	280,248				280,248
Permal Fixed Income Special Opportunities	Alt	530,887				530,887
Permal FX Financials & Futures Ltd	Alt	458,814				458,814
Fairfield Sentry Ltd	Alt	955,802				955,802
Totals		6,544,555	5,754	601,554	3,697,653	2,239,595
Asset Allocation percentages - December 2007			0%	9%	57%	34%
			9%		91%	



Client: Client Number - Portfolio 4852-1

Exhibit 10

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June 2008:

Position	Type	Amount	Cash	Bonds	Equities	Alt
Cash	Cash	25,215	25,215			
Amer Express GL EM Mkt Absolute Return	MF	148,752		74,376	74,376	
Signature Portfolios - Global Equities	Portfolio	2,705,216			2,705,216	
Discretionary Dynamic Global Asset Allocation	Portfolio	411,322	4,113	111,057	275,596	20,566
Discretionary Traditional Global Moderate	Portfolio	1,271,677		506,671	763,006	
Permal Fixed Income Holdings	Alt	279,686				279,686
Permal FX Financials & Futures Ltd	Alt	482,860				482,860
Fairfield Sentry Ltd	Alt	983,300				983,300
Totals		6,308,025	29,329	694,104	3,818,184	1,766,412
Asset Allocation percentages - June 2008			0%	11%	61%	28%
			11%		89%	

September 2008:

Position	Type	Amount	Cash	Bonds	Equities	Alt
Cash	Cash	15,281	15,281			
Amer Express GL EM Mkt Absolute Return	MF	115,544		57,772	57,772	
Signature Portfolios - Global Equities	Portfolio	2,418,745			2,418,745	
Discretionary Dynamic Global Asset Allocation	Portfolio	370,694	3,707	100,087	248,365	18,535
Discretionary Traditional Global Moderate	Portfolio	1,160,489		460,196	690,293	
Permal Fixed Income Holdings	Alt	268,672				268,672
Permal Macro Holdings Ltd	Alt	454,693				454,693
Fairfield Sentry Ltd	Alt	996,796				996,796
Totals		5,790,913	18,988	616,055	3,415,175	1,738,696
Asset Allocation percentages - September 2008			0%	11%	59%	30%
			11%		89%	

Client: Client Number - Portfolio 4662-1

Exhibit 10

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December 2008:

Position	Type	Amount	Cash	Bonds	Equities	Alt
Cash	Cash	1,011,691	1,011,691			
World Express GL EM Mkt Absolute Return	MF	42,511		21,256	21,256	
Signature Portfolios - Global Equities	Portfolio	1,874,904			1,874,904	
Discretionary Dynamic Global Asset Allocation	Portfolio	302,243	3,022	81,605	202,503	15,112
Discretionary Traditional Global Moderate	Portfolio	7,963		3,185	4,778	
Pernal Fixed Income Holdings	Alt	229,010				229,010
Pernal Macro Holdings Ltd	Alt	435,468				435,468
Fairfield Sentry Ltd	Alt	7				7
Totals		3,903,796	1,014,713	106,046	2,103,440	678,597
Asset Allocation percentages - December 2008			26%	3%	54%	17%
			29%		71%	

September 2009:

Position	Type	Amount	Cash	Bonds	Equities	Alt
Cash	Cash	510,359	510,359			
Amer Express GL EM Mkt Absolute Return	MF	5,269		2,635	2,635	
Signature Portfolios - Global Equities	Portfolio	2,395,803			2,395,803	
Signature Portfolios - US Multi Sector Fixed Inc	Portfolio	1,076,899		1,076,899		
Discretionary Dynamic Global Asset Allocation	Portfolio	636,430	6,364	146,379	483,687	
Totals		4,624,760	516,724	1,225,913	2,882,124	0
Asset Allocation percentages - September 2009			11%	27%	62%	0%
			38%		62%	



Investment Proposal for 4652

Relationship Manager: Jose Del Vecchio
Investment Specialist: John Dutkowski

October 2009



Asset Allocation

Asset Class	Amount (\$)	Current Allocation (%)	Products	Proposed Allocation (%)	Amount (\$)
Cash or Near Cash	\$ 510,480	11.4%		0.4%	\$ 16,132
Fixed Income	\$ 1,063,907	0.0%	PIMCO Global Bonds	57.9%	\$ 1,700,000
Equity	\$ 2,295,652	51.2%	Sig. US Multi-Sector Fixed Income	23.7%	\$ 1,063,907
Multi-Asset	\$ 609,776	13.6%	Sig. Global Equities	24.3%	\$ 1,090,000
Absolute Return	\$ 5,123	0.1%	Dynamic Global Asset Alloc.	13.6%	\$ 609,776
Total	\$ 4,484,939	100.0%	GBLEM Absolute Return	0.1%	\$ 5,123
			Total	100.0%	\$ 4,484,939

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